

PATENT COOPERATION TREATY

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INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY

(Chapter II of the Patent Cooperation Treaty)

(PCT Article 36 and Rule 70)

REC'D 15 FEB 2006


WIPO PCT

Applicant's or agent's file reference PSIC082WO	FOR FURTHER ACTION		See Form PCT/IPEA/416
International application No. PCT/EP2004/012465	International filing date (day/month/year) 04.11.2004	Priority date (day/month/year) 07.11.2003	
International Patent Classification (IPC) or national classification and IPC B42D15/00		CORRECTED VERSION	
Applicant SICPA HOLDING S.A. et al.			

1. This report is the international preliminary examination report, established by this International Preliminary Examining Authority under Article 35 and transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of ⁴ sheets, including this cover sheet.
3. This report is also accompanied by ANNEXES, comprising:
 - a. ☒ sent to the applicant and to the International Bureau) a total of ⁴ sheets, as follows:
 - ☐ sheets of the description, claims and/or drawings which have been amended and are the basis of this report and/or sheets containing rectifications authorized by this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions).
 - ☐ sheets which supersede earlier sheets, but which this Authority considers contain an amendment that goes beyond the disclosure in the international application as filed, as indicated in item 4 of Box No. I and the Supplemental Box.
 - b. ☐ (sent to the International Bureau only) a total of (indicate type and number of electronic carrier(s)) , containing a sequence listing and/or tables related thereto, in computer readable form only, as indicated in the Supplemental Box Relating to Sequence Listing (see Section 802 of the Administrative Instructions).

4. This report contains indications relating to the following items:

<input checked="" type="checkbox"/> Box No. I	Basis of the opinion
<input type="checkbox"/> Box No. II	Priority
<input type="checkbox"/> Box No. III	Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
<input type="checkbox"/> Box No. IV	Lack of unity of invention
<input checked="" type="checkbox"/> Box No. V	Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
<input type="checkbox"/> Box No. VI	Certain documents cited
<input type="checkbox"/> Box No. VII	Certain defects in the international application
<input type="checkbox"/> Box No. VIII	Certain observations on the international application

Date of submission of the demand 30.05.2005	Date of completion of this report 14.02.2006
Name and mailing address of the International preliminary examining authority:  European Patent Office D-80298 Munich Tel. +49 89 2399 - 0 Tx: 523656 epmu d Fax: +49 89 2399 - 4465	Authorized Officer D'Incecco, R Telephone No. +49 89 2399-



**INTERNATIONAL PRELIMINARY REPORT
ON PATENTABILITY**

International application No.
PCT/EP2004/012465

Box No. I Basis of the report

1. With regard to the **language**, this report is based on the international application in the language in which it was filed, unless otherwise indicated under this item.
- ☐ This report is based on translations from the original language into the following language, which is the language of a translation furnished for the purposes of:
- ☐ international search (under Rules 12.3 and 23.1(b))
 - ☐ publication of the international application (under Rule 12.4)
 - ☐ international preliminary examination (under Rules 55.2 and/or 55.3)
2. With regard to the **elements*** of the international application, this report is based on *(replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report)*:

Description, Pages

1-20 as originally filed

Claims, Numbers

1-14 received on 16.12.2005 with letter of 13.12.2005

Drawings, Sheets

1/3-3/3 as originally filed

- ☐ a sequence listing and/or any related table(s) - see Supplemental Box Relating to Sequence Listing
3. ☐ The amendments have resulted in the cancellation of:
- ☐ the description, pages
 - ☐ the claims, Nos.
 - ☐ the drawings, sheets/figs
 - ☐ the sequence listing (*specify*):
 - ☐ any table(s) related to sequence listing (*specify*):
4. ☐ This report has been established as if (some of) the amendments annexed to this report and listed below had not been made, since they have been considered to go beyond the disclosure as filed, as indicated in the Supplemental Box (Rule 70.2(c)).
- ☐ the description, pages
 - ☐ the claims, Nos.
 - ☐ the drawings, sheets/figs
 - ☐ the sequence listing (*specify*):
 - ☐ any table(s) related to sequence listing (*specify*):

* If item 4 applies, some or all of these sheets may be marked "superseded."

**INTERNATIONAL PRELIMINARY REPORT
ON PATENTABILITY**

International application No.
PCT/EP2004/012465

Box No. V Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement

1. Statement

Novelty (N)	Yes: Claims	1-14
	No: Claims	
Inventive step (IS)	Yes: Claims	1-14
	No: Claims	
Industrial applicability (IA)	Yes: Claims	1-14
	No: Claims	

2. Citations and explanations (Rule 70.7):

see separate sheet

WO-A-98/55333 (D1), which is cited in the present application discloses a security document according to the preamble of claim 1, wherein it shall also be considered that bank notes in general and in particular in this cited prior art contain not only one but several different security elements as forgery protection.

The subject-matter of claim 1 differs from the known prior art substantially in that first and second security elements are respectively provided on first and second constituting parts of the security document and that the first and second security elements have same identifiable properties and are provided on the document to be comparable. Further, said elements being of the kind as defined in the characterizing part of claim 1.

Claim 1 is therefore novel.

The problem to be solved by the features of claim 1 is to improve forgery security by easy detectable combined security features.

Neither D1 nor any of the other cited documents nor a combination of their teachings suggest a security document with the combination of features of claim 1 in order to solve the problem posed.

Thus, claim 1 involves an inventive step.

Accordingly also a method of producing said document according to independent claim 10 is novel and involves an inventive step.

Claims 1 and 10, as well as their respective dependent claims 2-9 and 11-14 meet the requirements of Article 33(1)-(4) PCT.

Amended Claims

1. Security document comprising a substrate (P) as a first constituting part and at least another constituting part (1,2,3)

and a first security element (S) being applied to or comprised in one of the constituting parts (P,1,2,3), said security element (S) having identifiable properties, the presence of said properties serving as a first authenticating feature for said security document,

characterized in that

at least a further security element (S) having substantially the same identifiable properties is applied to or comprised in at least another of the constituting parts (P,1,2,3) as a second security feature,

said security elements (S) are chosen from the group consisting of optically variable pigments, multi-layer thin-film interference pigments, liquid-crystal pigments, holographic pigments, interference-coated particles, thermochromic pigments, photochromic pigments, luminescent compounds, infrared-absorbing compounds, UV-absorbing compounds, magnetic compounds, micro-engraved or micro-textured flake pigments, and forensic marking compounds,

and in that said security elements (S) are applied or added to the constituting parts (P,1,2,3) in a manner to allow a comparison of their properties as a third security feature.

2. Security document according to claim 1, characterized in that the first and the further security elements are materially the same.

3. Security document according to claim 1 or 2, characterized in that the security document is a banknote, a value paper, an identification document, an access card, a security label or a packaging.
4. Security document according to one of the claims 1 - 3, characterized in that the substrate (P) is chosen from the group consisting of papers, cardboards, textiles, foils, printing layers and polymer sheets.
5. Security document according to one of the claims 1 - 4, characterized in that the other constituting parts (1,2,3) are chosen from the group consisting of printing inks, security threads, windows, fibers, planchettes, foils and decals.
6. Security document according to one of the claims 1 - 5, characterized in that at least one of said security elements (S) is contained in an ink or coating.
7. Security document according to one of the claims 1 - 6, characterized in that at least one of said security elements (S) is contained in or applied to the substrate (P) or one of the constituents thereof.
8. Security document according to one of the claims 1 - 7, characterized in that said substrate (P) comprises a structure of alternating polymer and coating layers.
9. Security document according to one of the claims 1 - 8, characterized in that said security elements are chosen from the group comprising covert security elements.

10. Method for producing a security document comprising a substrate (P) as a first constituting part and at least another constituting part (1,2,3)
by applying or adding a first security element (S) to one of the constituting parts (P,1,2,3),
said security element (S) having identifiable properties, the presence of said properties serving as a first authenticating feature for said security document,
by applying or adding at least a further security element (S) having substantially the same properties to another of the constituting parts (P,1,2,3) as a second security feature,
characterized in that the first and the further security elements (S) are chosen from the group comprising optically variable pigments, multi-layer thin-film interference pigments, liquid-crystal pigments, holographic pigments, interference-coated particles, thermochromic pigments, photochromic pigments, luminescent compounds, infrared-absorbing compounds, UV-absorbing compounds, magnetic compounds, micro-engraved or micro-textured flake pigments, and forensic marking compounds,
and in that said security elements (S) are applied or added to the constituting parts (P,1,2,3) in a manner to allow a comparison of their properties as a third security feature.
11. Method according to claim 10, characterized by applying or adding materially the same security element (S) to two or more different constituting parts (P) of the security document.
12. Method according to claim 10 or 11, characterized in that at least one of said security elements (S) is applied to a constituting part (P,1,2,3) by a coating or printing procedure.

13. The use of a first and at least a further security element (S) having substantially the same properties in or on at least two different constituting parts (P,1,2,3) of a security document.
14. The use of a first and at least a further security element (S) according to claim 14, characterized in that the first and the further security elements are materially the same.